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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: June 29, 2007 Name: Robert D. Summers, Jr., Reg. No. 57,844 Signature:

BRINKS  
HOFER  
GILSON  
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: McGiffin et al.

Appln. No.: 10/783,841

Filed: February 20, 2004

For: ACCOUNT LEVEL PARTICIPATION FOR  
UNDERWRITING COMPONENTS

Examiner: Not yet assigned

Art Unit: 3624

Attorney Docket No: 10022/444

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Attached are:

- ☒ Transmittal Letter (in duplicate); First Supplemental Information Disclosure Statement; PTO Form 1449; copies of cited references B6 – B7.
- ☒ Return Receipt Postcard.

Fee calculation:

- ☒ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_\_).
- ☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$25=			x \$50=	
Indep.		Minus			x 100=			x \$200=	
First Presentation of Multiple Dep. Claim					+\$180=			+\$360=	
					Total	\$		Total	\$

Fee payment:

- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

Robert D. Summers, Jr. (Reg. No. 57,844)

June 29, 2007  
Date

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
on June 29, 2007

Date of Deposit

Robert D. Summers, Jr., Reg. No. 57,844

Name of applicant, assignee or  
Registered Representative

Signature

June 29, 2007

Date of Signature

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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### FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§ 1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(c), Applicants hereby cite the following references:

#### U.S. PATENT DOCUMENTS

No.	Date of Publication	Patentee/Applicant/Assignee
US 2003/0187826 A1	10/02/2003	Kennedy et al.
US 2003/0149650 A1	08/07/2003	Yeh et al.
US 2002/0198743 A1	12/26/2002	Ariathurai et al.
US 5,659,723	08/18/1997	Dimitrios et al.
US 5,446,885	08/29/1995	Moore et al.

**OTHER ART – NON PATENT LITERATURE DOCUMENTS**

Faith Wempan, " <i>SAMS Teach Yourself Microsoft ACCESS 2000</i> ", Quick steps for fast results- <i>Get the skills you need in just 10 minutes</i> ; Safari Books online-ProQuest (Sams 1999).
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Michael J. Hernandez, " <i>Database Design for Mere Mortals</i> ", Second Edition – A Hands On Guide to Relational Database Design (2003).
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Applicants are enclosing Form PTO-1449 (one sheet), along with copies of cited references B6-B7. As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above references and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants hereby certify pursuant to 37 C.F.R. §1.97(e)(2) that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Statement. Accordingly, Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,



Robert D. Summers, Jr. (Reg. No. 57,844)

June 29, 2007

Date



FORM PTO-1449	SERIAL NO. <b>10/783,841</b>	CASE NO. <b>10022/444</b>
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE <b>February 20, 2004</b>	GROUP ART UNIT <b>3624</b>
APPLICANTS: <b>McGIFFIN et al.</b>		

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	B1	US 2003/0187826 A1	10/02/2003	Kennedy et al.		
	B2	US 2003/0149650 A1	08/07/2003	Yeh et al.		
	B3	US 2002/0198743 A1	12/26/2002	Ariathurai et al.		
	B4	US 5,659,723	08/18/1997	Dimitrios et al.		
	B5	US 5,446,885	08/29/1995	Moore et al.		

EXAMINER INITIAL	<b>OTHER ART – NON PATENT LITERATURE DOCUMENTS</b> (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
	B6	Faith Wempan, "SAMS Teach Yourself Microsoft ACCESS 2000", Quick steps for fast results- Get the skills you need in just 10 minutes; Safari Books online- ProQuest (Sams 1999).
	B7	Michael J. Hernandez, "Database Design for Mere Mortals", Second Edition – A Hands On Guide to Relational Database Design (2003).

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.